

EXPRESS MAIL NO.
EV 416 671 129 US

PTO/SB/05 (08-03)

Approved for use through 07/31/2006. OMB 0651-0032
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**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	41722-P001US
First Inventor	Chris A. Peirson
Title	ONLINE SETTLEMENT AND FUNDING CONTROL SYSTEM
Express Mail Label No.	EV 416 671 129 US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. Applicant claims small entity status.
See 37 CFR 1.27.
3. Specification [Total Pages 67]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. Drawing(s) (35 U.S.C. 113) [Total Sheets 47]
5. Oath or Declaration [Total Sheets 4]
 - a. Newly executed (original or copy)
 - b. Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 18 completed)
 - i. DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) name in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. Application Data Sheet. See 37 CFR 1.76

ADDRESS TO:
Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria VA 22313-1450

7. CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
 - a. Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. CD-ROM or CD-R (2 copies); or
 - ii. Paper
 - c. Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. Assignment Papers (cover sheet & document(s))
10. 37 CFR 3.73(b) Statement Power of (when there is an assignee) Attorney
11. English Translation Document (if applicable)
12. Information Disclosure Statement (IDS)/PTO-1449 Copies of IDS Citations
13. Preliminary Amendment
14. Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:

Continuation Divisional Continuation-in-part (CIP) of prior application No.:

Prior application information: Examiner _____ Art Unit: _____
For CONTINUATION OF DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

<input type="checkbox"/> Customer Number:				OR	<input checked="" type="checkbox"/> Correspondence address below
Name	Michael P. Adams				
Address	Winstead Sechrest & Minick P.C. P.O. Box 50784, 400 North Ervay Street				
City	Dallas	State	Texas	Zip Code	75201
Country	USA	Telephone	(512) 370-2858		Fax (512) 370-2850
Name (Print/Type)	Michael P. Adams	Registration No. (Attorney/Agent)	34,763		
Signature				Date	November 21, 2003

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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WINSTEAD

EXPRESS MAIL NO.
EV 416 671 129 US

Docket No.: 41722-P001US

November 21, 2003

Commissioner For Patents

P.O. Box 1450

Alexandria, VA 22313-1450

Enclosed herewith for filing is a patent application, as follows:

Title: ONLINE SETTLEMENT STATEMENT AND FUNDING CONTROL SYSTEM AND
METHOD

X Return Receipt Postcard
X This Transmittal Letter (in duplicate)
1 page(s) - Utility Patent Application Transmittal
67 page(s) - Specification (including Claims & Abstract)
47 sheet(s) - of Drawings
4 page(s) - Declaration For Patent Application and Power of Attorney
1 page(s) - Recordation Form Cover Sheet (in duplicate)
3 page(s) - Assignment
1 page - NonPublication Request
X Firm check in the amount of \$430.00

Applicant(s) assert(s) entitlement to small entity status for the attached patent application

CLAIMS AS FILED (fees computed under 37 CFR §1.9(f))

For	Number	Number	Basic Fee
Total Claims	Filed 25	-20 = Extra 5 x \$9.00	\$ 385.00 \$ 45.00
Independent Claims	3 -3 = 0	x \$43.00	\$ 0.00
	<input type="checkbox"/> Fee of _____ for the first filing of one or more multiple dependent claims per application		\$
	<input type="checkbox"/> Fee for Request for Extension of Time		\$
	<input checked="" type="checkbox"/> Check for total fee for filing the patent application is enclosed in the amount of		\$ 430.00
	<input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees associated with this communication which may be required or credit any overpayment to Deposit Account No. 23-2426 (41722-P001US).		

Respectfully submitted,



Michael P. Adams
Attorney for Applicant(s)
Reg. No. 34,763

MPA:wk
Enclosure(s)

AUSTIN_1\237149\1
41722-P001US 11/21/2003

EXPRESS MAIL NO.
EV 416 671 129 US

PTO/SB/35 (05-03)

Approved for use through 4/30/2003. OMB 0651-0031
U.S. Patent and Trademark Office; U. S. DEPARTMENT OF COMMERCE
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**NONPUBLICATION REQUEST
UNDER
35 U.S.C. 122(b)(2)(B)(i)**

First Named Inventor	Chris A. Peirson
Title	ONLINE SETTLEMENT STATEMENT AND FUNDING CONTROL SYSTEM AND METHOD
Attorney Docket Number	41722-P001US

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing.

I hereby request that the attached application not be published under 35 U.S.C. 122(b).

November 21, 2003

Date



Signature

(512) 370-2858

Michael P. Adams

Telephone number

Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

This collection of information is required by 37 CFR 1.213(a). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 6 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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